

M&G 40170.3US01

MERCHANT & GOULD P.C. P.C.
United States Patent Application
DECLARATION UNDER 37 C.F.R. § 1.63

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **LLT USES THEREOF IN IMMUNE SYSTEM MODULATION**

The specification of which

- a. ☐ is attached hereto
b. ☒ was filed on December 30, 1999 as application serial no. 09/475,365, which I have reviewed and for which I solicit a United States patent.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on the basis of which priority is claimed:

- a. ☒ no such applications have been filed.
b. ☐ such applications have been filed as follows:

FOREIGN APPLICATION(S), IF ANY, CLAIMING PRIORITY UNDER 35 USC § 119			
COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, month, year)
ALL FOREIGN APPLICATION(S), IF ANY, FILED BEFORE THE PRIORITY APPLICATION(S)			
COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, month, year)

I hereby claim the benefit under Title 35, United States Code, § 120/365 of any United States and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

For Continuation-in-Part (CIP) Applications, complete

U.S. APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (patented, pending, abandoned)

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

U.S. PROVISIONAL APPLICATION NUMBER	DATE OF FILING (Day, Month, Year)

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56 (reprinted below).

§ 1.56 Duty to disclose information material to patentability.

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
 - (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
- (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim;
or
 - (2) It refutes, or is inconsistent with, a position the applicant takes in:
 - (i) Opposing an argument of unpatentability relied on by the Office, or
 - (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

- (c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:
- (1) Each inventor named in the application;
 - (2) Each attorney or agent who prepares or prosecutes the application; and
 - (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

Please direct all correspondence in this case to Merchant & Gould P.C. at the address indicated below:

Merchant & Gould P.C.
P.O. Box 2903
Minneapolis, MN 55402-0903



I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are

punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2	Full Name Of Inventor	Family Name Mathew	First Given Name Poruncelloor	Second Given Name A.
0	Residence & Citizenship	City Coppell	State or Foreign Country Texas	Country of Citizenship USA
1	Mailing Address	Address 338 Ashley Drive	City Coppell	State & Zip Code/Country Texas 75019/USA
Signature of Inventor 201:			Date:	
			5-30-01	
2	Full Name Of Inventor	Family Name Boles	First Given Name Kent	Second Given Name S
0	Residence & Citizenship	City Fort Worth	State or Foreign Country Texas	Country of Citizenship USA
2	Mailing Address	Address 3704 Washburn Ave Apt D	City Fort Worth	State & Zip Code/Country Texas 76107
Signature of Inventor 202:			Date:	
			5-30-01	

If you need blocks for additional inventors, place a hard page return here and merge in F:\FORMS\PAT.067

S/N 09/475,365

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Porunelloor A.

Mathew, et al.

Serial No.: 09/475,365

Filed: December 30, 1999 Docket No.: 40170.3US01

Title: LLT USES THEREOF IN IMMUNE SYSTEM MODULATION

POWER OF ATTORNEY

The undersigned hereby appoints:

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Black, Bruce E.	Reg. No. 41,622
Branch, John W.	Reg. No. 41,633
Bremer, Dennis C.	Reg. No. 40,528
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Carlson, Alan G.	Reg. No. 25,959
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Daignault, Ronald A.	Reg. No. 25,968
Daley, Dennis R.	Reg. No. 34,994
Dalglish, Leslie E.	Reg. No. 40,579
Daulton, Julie R.	Reg. No. 36,414
DeVries Smith, Katherine M.	Reg. No. 42,157
DiPietro, Mark J.	Reg. No. 28,707
Edell, Robert T.	Reg. No. 20,187
Epp Ryan, Sandra	Reg. No. 39,667
Glance, Robert J.	Reg. No. 40,620
Goggin, Matthew J.	Reg. No. 44,125
Golla, Charles E.	Reg. No. 26,896
Gorman, Alan G.	Reg. No. 38,472
Gould, John D.	Reg. No. 18,223
Gregson, Richard	Reg. No. 41,804
Gresens, John J.	Reg. No. 33,112
Hamer, Samuel A.	Reg. No. 46,754
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Harrison, Kevin C.	Reg. No. 46,759
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Kadievitch, Natalie D.	Reg. No. 34,196
Karjeker, Shaukat	Reg. No. 34,049
Kenelberger, Denise	Reg. No. 33,924
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Kowalchyk, Katherine M.	Reg. No. 36,848

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Phillips, John B.	Reg. No. 37,206
Prendergast, Paul	Reg. No. 46,068
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Schmaltz, David G.	Reg. No. 39,828
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Schumann, Michael D.	Reg. No. 30,422
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Sebald, Gregory A.	Reg. No. 33,280
Skoog, Mark T.	Reg. No. 40,178
Spellman, Steven J.	Reg. No. 45,124
Stoll-DeBell, Kirstin L.	Reg. No. 43,164
Sullivan, Timothy	Reg. No. 47,981
Sumner, John P.	Reg. No. 29,114
Swenson, Erik G.	Reg. No. 45,147
Tellekson, David K.	Reg. No. 32,314
Trembath, Jon R.	Reg. No. 38,344
Tunheim, Marcia A	Reg. No. 42,189
Underhill, Albert L.	Reg. No. 27,403
Vandenburgh, J. Derek	Reg. No. 32,179
Wahl, John R.	Reg. No. 33,044
Weaver, Karrie G.	Reg. No. 43,245
Welter, Paul A.	Reg. No. 20,890
Whipps, Brian	Reg. No. 43,261
Whitaker, John E.	Reg. No. 42,222
Williams, Douglas J.	Reg. No. 27,054
Withers, James D.	Reg. No. 40,376
Witt, Jonelle	Reg. No. 41,980
Wu, Tong	Reg. No. 43,361

Xu, Min S.
Young, Thomas

Reg. No. 39,536
Reg. No. 25,796

Zeuli, Anthony R.

Reg. No. 45,255

as attorneys and/or patent agents with the full power to represent the applicant in connection with this application.

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

The Board of Regents, The University of Texas System, an organization organized and existing under the laws of the State of Texas, having a place of business at 201 West 7th Street, Austin, Texas 78701, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

- A. ☒ An assignment from the inventor(s), of the patent application identified above.
for which a copy is attached.
- B. ☐ A chain of title from the inventor(s) of the patent application identified above to the current assignee as shown below:
1. From: To:

The document was recorded in the Patent and Trademark Office at Reel ,
Frame(s) , or for which a copy thereof is attached.
 2. From: To:

The document was recorded in the Patent and Trademark Office at Reel ,
Frame(s) , or for which a copy thereof is attached.
 3. From: To:

The document was recorded in the Patent and Trademark Office at Reel ,
Frame(s) , or for which a copy thereof is attached.
- ☐ Additional documents in the chain of title are listed on a supplemental sheet.
- ☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Please direct all correspondence to Denise L. Mayfield, MERCHANT & GOULD P.C., P.O. Box 2903, Minneapolis, MN 55402-0903, telephone (303) 357-1660.

Date: May 31, 2001

By: 

Cullen M. Godfrey

Title: Vice Chancellor and General Counsel

*2355

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M&G

ASSIGNMENT

WHEREAS, we, Porunelloor A. Mathew, residing at 338 Ashley Drive, Coppell, Texas 75019, and Kent S. Boles, residing at 3704 Washburn Ave Apt D, Fort Worth, made certain new and useful inventions and improvements for which we filed an application for Letters Patent of the United States on December 30, 1999, application Serial No. 09/475,365 which is entitled LLT USES THEROF IN IMMUNE SYSTEM MODULATION.

AND WHEREAS, The Board of Regents, The University of Texas System, a nonprofit organization organized and existing under and by virtue of the laws of the State of Texas, and having an office and place of business at 201 West 7th Street, Austin, Texas 78701, (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW THEREFORE, to all whom it may concern, be it known that for good and valuable considerations, the receipt and sufficiency whereof is hereby acknowledged, we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the application, all divisions, continuations, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted therefrom; and we do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the Assignee, its successors and assigns.


AND, for the consideration aforesaid, we do hereby agree that we and our executors and legal representatives will make, execute and deliver any and all other instruments

in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us and that full right to convey the same as herein expressed is possessed by us.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 30th day of

May, 2001.



Kent S. Boles

STATE OF TEXAS)
) ss.
COUNTY OF TARRANT)

On this 30th day of May, 2001, before me personally appeared Kent S. Boles to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

[SEAL]



Notary Public



IN TESTIMONY WHEREOF, I have hereunto set my hand this 30th day of

May, 2001.

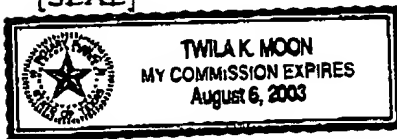
Porunelloor A. Mathew

Porunelloor A. Mathew

STATE OF TEXAS)
) ss.
COUNTY OF TARRANT)

On this 30th day of May, 2001, before me personally appeared Porunelloor A. Mathew to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

[SEAL]



Twila K. Moon
Notary Public

NONPROFIT ORGANIZATION
VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. 1.9(e) AND 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Board of Regents
The University of Texas System
ADDRESS OF ORGANIZATION: 201 West 7th Street
Austin, Texas 78701

TYPE OF ORGANIZATION: Nonprofit

CHECK ONE

- a) ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
b) ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) AND 501(c)(3))
c) ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA -- (NAME OF STATE)
(CITATION OF STATUTE)
d) ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) AND 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
e) ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA -- (NAME OF STATE)
(CITATION OF STATUTE)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in regard to the invention, entitled SPLICE VARIANCE OF HUMAN 2B4 by inventor(s) Michael Bennett, Vinay Kumar, and Porunelloor A. Mathew described in

- a) ☐ the specification filed herewith.
b) ☐ provisional application serial no. , filed .
c) ☒ non-provisional application serial no. 09/475,365, filed December 30, 1999.
d) ☐ patent no. , issued .

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or a nonprofit organization under 37 C.F.R. 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. 1.27)INSERT CO-OWNERS, IF ANY

NAME	<u>N/A</u>		
ADDRESS	<u> </u>		
	a) <input type="checkbox"/> INDIVIDUAL	b) <input type="checkbox"/> SMALL BUSINESS CONCERN	c) <input type="checkbox"/> NONPROFIT ORGANIZATION
NAME	<u>N/A</u>		
ADDRESS	<u> </u>		
	a) <input type="checkbox"/> INDIVIDUAL	b) <input type="checkbox"/> SMALL BUSINESS CONCERN	c) <input type="checkbox"/> NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereof, or any patent to which this verified statement is directed.

NAME: Cullen M. Godfrey
TITLE: Vice Chancellor and General Counsel

ADDRESS: Board of Regents
The University of Texas System
201 West 7th Street
Austin, Texas 78701

SIGNATURE: _____

DATE: May 31, 2001 _____